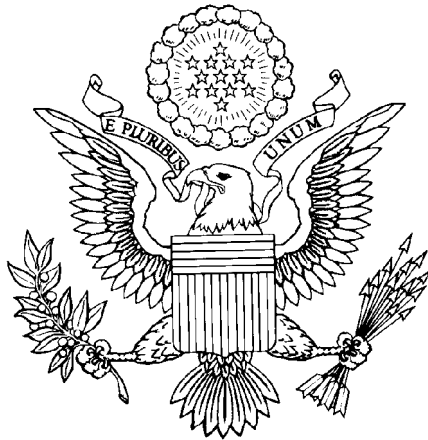


Proposal Submission Instructions (PSI)



**U.S. Department of State
Bureau of Educational and Cultural Affairs
Program Management Staff
Washington, D.C. 20547
<http://e.usia.gov/education/rfps>**

GUIDELINES FOR ASSISTANCE AWARD PROPOSALS

TECHNICAL ELIGIBILITY

Technically eligible submissions are those which: 1) arrive at the Bureau by the designated date before 5 p.m. Washington, D.C. time; 2) have heeded all instructions contained in the solicitation document and Solicitation Package, including length and completeness of submission; and, 3) do not violate any of the guidelines stated in the Standard Program Guidelines. Submissions should be mailed to U.S. Department of State, Bureau of Educational and Cultural Affairs, Office of the Executive Director, Program Management Staff, ECA/EX/PM, 301 4th Street, Washington, D.C., 20547.

RECIPIENT ORGANIZATIONS

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. If your organization is a private nonprofit which has not received a grant or cooperative agreement from the Bureau in the past three years, or if your organization received nonprofit status from the IRS within the past four years, you must submit the necessary documentation to verify nonprofit status. Failure to do so will cause your proposal to be declared technically ineligible.

OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULARS

Organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

AUDITS

The recipient's proposal will include the cost of an audit that:

- (1) complies with the requirements of OMB Circular No. A-133, "Audits for Institutions of Higher Education and Other Nonprofit Institutions";
 - (2) complies with the requirements of American Institute of Certified Public Accountants (AICPA) Statement of Position (SOP) No. 92-9, "Audits of Not-for-Profit Organizations Receiving Federal Awards";
 - (3) Complies with AICPA Codification of Statements on Auditing Standards AU Section 551, "Reporting on Information Accompanying the Basic Financial Statements in Auditor-Submitted Documents," where applicable.
- When **U.S. Department of State** is the largest direct source of Federal financial assistance (i.e., the cognizant Federal Agency) and indirect costs are charged to Federal grants, a supplemental schedule of indirect cost computation is required.

The audit costs shall be identified separately for:

- (1) audit of the basic financial statements, and
- (2) supplemental reports and schedules required by A-133.

COST SHARING

The Bureau of Educational and Cultural Affairs encourages cost-sharing, which may be in the form of allowable direct or indirect costs. The recipient of an assistance award must maintain written records to support all allowable costs which are claimed as its contribution to cost participation, as well as costs to be paid by the Federal government. Such records are subject to audit.

The basis for determining the value of cash and in-kind contributions must be in accordance with OMB Circular A-110 (Revised), Subpart C (23) "Cost-sharing or Matching," and should be described in the proposal. In the event the recipient does not meet the minimum amount of cost-sharing as stipulated in the recipient's budget, the Bureau's contribution will be reduced in proportion to the recipient's contribution.

INDIRECT COST-RATE

An organization with an audited indirect cost rate negotiated with a cognizant federal government agency other than the U.S. Department of State should include a copy of the cost-rate agreement as an addendum to the budget. If the applicant currently has an assistance award from the U.S. Department of State, the agreement does not need to be submitted unless the applicant has negotiated a **new indirect cost rate** with a cognizant agency other than U.S. Department of State during the past 12 months. An applicant must indicate in the proposal budget how the rate is applied. U.S. Department of State does not pay indirect costs against participant expenses.

CONFERENCES

The Bureau of Educational and Cultural Affairs does not support proposals limited to conferences or seminars organized as plenary sessions, major speakers, and panels with a passive audience. The Bureau supports conferences only insofar as they are a minor part of a project with greater duration and scope which is receiving Bureau funding from this competition.

TRAVEL

The options an assistance award recipient has for arranging U.S. domestic travel for grantees are: (a) to use own travel agent, or (b) through the Travel Management Center (TMC) at American Express Travel (703-465-5320 or 1-800-995-0465). Under the TMC method, however, travel costs must be a minimum of \$20,000.00 to utilize this option. The Bureau does not make the travel funds directly available to the recipient organization, but rather sets aside the funds in the assistance award to be accounted for separately as expenses are incurred and liquidated. In order to ensure that the set-aside for this purpose not be exceeded, the recipient organization must closely monitor the grant travel costs and advise the Bureau program officer if more (or less) funds are needed than originally anticipated. Detailed instruction on use of the TMC will be provided when the grant/cooperative agreement is awarded. **Recipient staff and consultants are not allowed to use TMC.**

NOTE: PREFERRED TRAVEL OPTION MUST BE INDICATED ON THE "ADDITIONAL INFORMATION" SHEET FOUND IN THE SOLICITATION PACKAGE.

DIVERSITY, FREEDOM AND DEMOCRACY GUIDELINES

Pursuant to the Bureau's authorizing legislation, programs must maintain a non-political character and should be balanced and representative of the diversity of American political, social, and cultural life. "Diversity" should be interpreted in the broadest sense and encompass differences including but not limited to ethnicity, race, gender, religion, geographic location, socio-economic status, and physical challenges. Applicants are strongly encouraged to adhere to the advancement of this principle both in program administration and in program content. Please refer to the review criteria under the 'Support for Diversity' section for specific suggestions on

incorporating diversity into the total proposal. Public Law 104-319 provides that “in carrying out programs of educational and cultural exchange in countries whose people do not fully enjoy freedom and democracy,” **USIA (which is now the U.S. Department of State), “shall take appropriate steps to provide opportunities for participation in such program to human rights and democracy leaders of such countries.”** Proposals should reflect advancement of this goal in their program contents, to the full extent deemed feasible.

Suggested elements could include:

Program Administration:

- Selection of U.S. and foreign program participants should reflect all relevant forms of diversity (ethnicity, gender, geographic regions, etc.) to the extent possible;
- Program locations should reflect geographic diversity and, where relevant, socio-economic diversity;
- Program evaluation should incorporate an examination of the program from a variety of perspectives, including the establishment of diversity criteria and how the program meets these criteria/goals.

Program Content:

- Orientation should include a session on multi-ethnicity and multi-culturalism for in-bound participants as well as for participants going abroad;
- In seminars, workshops, meetings and other forms of interaction, relevant diversity issues should be addressed either directly (as a topic) or indirectly (through contact with individuals of diverse backgrounds);
- Wrap-up and re-entry sessions should include a component on diversity issues observed in the U.S., and , if relevant, a comparative world-wide view of diversity;
- Resource lists and research material should contain a broad representation of subjects, authors and titles reflecting diversity in the U.S.;
- Program follow-up should ensure mechanisms for the continual promotion of diversity issues.

TAXES

Grantees under Bureau-funded projects are responsible for complying with all applicable tax treaties and federal, state and local laws on tax withholding and reporting for project participants. Because of the complexity of current tax laws regarding scholarship and fellowship income, it is strongly recommended that grantees consult with tax counsel regarding such compliance.

INSURANCE

Exchange program regulations require that all J visa holders carry health and accident insurance. At a minimum, insurance must provide the following benefits:

- (1) medical coverage of at least \$50,000 per person per accident or illness;
- (2) repatriation of remains in the amount of \$7,500; and
- (3) medical evacuation benefits of at least \$10,000.

In addition, a qualified insurance program shall not have a deductible that exceeds \$500 and it must meet other technical standards as specified in the regulations (22 CFR Part 514). The Bureau provides health and accident insurance which is in compliance with 22 CFR Part 514. The Bureau insures international and U.S. participants in a variety of exchange-of-persons programs at no cost to the participants. This insurance is not all-purpose

health insurance; it is subject to specific limitations. **This coverage is not intended to replace any insurance a participant may already have. Instead, the intent is to supplement existing coverage and to ensure that a participant's basic health is protected in a foreign country.**

If the applicant will not be using the Bureau's insurance, the applicant should budget (under program costs per participant) for insurance. It is expected that participants will be provided with insurance for those periods of actual participation in exchange activities. The period of coverage does not necessarily coincide with the duration of the funded project.

REQUIRED FORMS

Included in the Solicitation Package are instructions on forms that must be submitted or accounted for by the applicant. Please take care to ensure that all forms are up-to-date and on file at your organization.

BUDGET GUIDELINES

An applicant organization's budget must respond to the solicitation guidelines and be included in the proposal. Use specific line-items corresponding to the solicitation guidelines, and provide a detailed line-item budget outlining specific cost requirements for proposed activities. A minimum of three columns must be used to delineate the Bureau funding request, cost-sharing by applicant, and total project funding. Include narratives as necessary to explain specific line-items and how the amounts were derived.

The three-column proposal line-item budget must include these main components:

- A. Summary Budget
- B. Line-item Program Budget
- C. Line-item Administrative Budget

A. SUMMARY BUDGET:

A budget outlining total program and administrative costs as well as overall total project cost should be included. Costs per participant are to be included as shown in this example:

SAMPLE SUMMARY BUDGET

	Bureau of Educational and Cultural Affairs	Cost Sharing	Total
PROGRAM COSTS			
Program costs per participant			
ADMINISTRATIVE COSTS			
Administrative costs per participant			
TOTAL COSTS			
Total costs per participant: (Number of participants: ____)			

B. LINE-ITEM PROGRAM BUDGET:

Guidance on admissible program costs is included in the solicitation document. Applicant organizations should follow, in general, the outline and sample budget format below. Funding requirements by source (Bureau of Educational and Cultural Affairs, cost-sharing, etc.) are to be listed for each line item. General program costs which do not vary according to the number of participants are separated from program costs which do vary according to the number of participants. Contributions should be included, whether cash or in-kind contributions. Assign a monetary value in U.S. dollars to each in-kind contribution. If the proposed project is a component of a larger program, identify other funding sources for the proposal and indicate the specific funding to be provided by those sources.

1. **General Program Costs:** Program costs that do not vary according to the number of participants.

a. **Lecture fees, honoraria, travel, and per diem for outside speakers:**

List names and rates per day (e.g., 2 x \$150/day x 2 days).

b. **Staff travel and per diem:** separate costs into four areas:

- 1) international airfare
- 2) in-country travel overseas
- 3) domestic travel in the U.S.
- 4) per diem

Explain differences in fares among travelers on the same routes (e.g., project staff member traveling for three weeks whose fare is higher than that of staff member traveling for four months).

c. **Materials:** Film and video rentals, educational materials, etc., as appropriate.

d. **Group costs:** Ground transportation in the U.S., cultural and educational program costs.

2. **Program Costs for Participants:** Program costs that vary according to the number of participants.

a. **Travel:** separate costs into three areas:

- 1) international airfare
- 2) in-country travel overseas
- 3) domestic travel in U.S.

Explain differences in fares among travelers on the same routes (e.g., participant traveling for three weeks whose fare is higher than that of participant traveling for four months).

b. **Per Diem/Maintenance:** Includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from the following website: <http://www.policyworks.gov/>. Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates. Homestays, dormitory stays, hotel room-sharing, and similar means of lowering the per diem cost are permissible.

c. **Orientation:** Travel costs and per diem other than for participants, speaker fees, preparation of materials, printing and copying may be included with other expense categories or listed as a separate category. It may be necessary to identify additional costs under this heading, such as room rental.

d. **Health Insurance:** In general, participants are covered by the Bureau's self-insurance policy. Refer to Program Guidelines for clarification.

e. **Other Program Costs:** These will vary depending on the nature of the project. Academic fees, cultural allowances, and book allowances are possible items. The inclusion of each must be justified.

f. **Scholarships/Tuition:** The applicant must identify costs included when the proposal requests support for academic scholarships or tuition. If only the cost of international travel is requested, this must be clearly identified. If the scholarship includes other administrative and program expenses, each item of expense must be listed and explained to ensure that there is no overlap with other requested budget items.

The Bureau of Educational and Cultural Affairs DOES NOT PAY FOR THE FOLLOWING:

- Publication of materials for distribution within the United States;
- Administration of a program that will make a profit;
- Expenses incurred before or after the specified dates of the grant;
- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction;
- Entertainment expenses;
- Contingency funds to cover unexpected costs, including salary increases, increased airfares, and other inflationary factors.

SAMPLE LINE-ITEM PROGRAM BUDGET

PROGRAM BUDGET	Bureau of Educational and Cultural Affairs	Cost Sharing	Total
A. <u>General Program Costs</u>			
1. Honoraria and per diem			
2. Staff travel and per diem			
a. International travel			
b. In-country travel overseas			
c. Domestic travel in U.S.			
d. Per diem			
3. Educational materials			
4. Group ground transportation			
Other			
Total General Program Costs			
B. <u>Participant Program Costs</u>			
1. Participant Travel			
a. International travel			
b. In-country travel overseas			
c. Domestic travel in U.S.			
2. Maintenance/per diem: list number of participants, rate, number of days			
3. Orientation			
a. Materials			
b. Room/equipment rentals			
Other			
Total Participant Program Costs			
TOTAL PROGRAM COSTS			

C. LINE-ITEM ADMINISTRATIVE BUDGET:

The line-item administrative budget describes each type of cost and elaborates on the categories listed below.

- Staff requirements:** Identify staffing requirements by each position title and, as necessary, brief description of duties. List annual salary of each position, percentage of time and number of months devoted to project (e.g., Administrative Director: \$30,000/year x 25% x 8.5 months; calculation: $\$30,000/12 = \$2,500 \times 25\% \times 8.5 \text{ months} = \$5,312$).
- Benefits:** State benefit costs separately from salary costs and explain how benefits are computed for each category of

employee.

3. **Other Direct Administrative Expenses:** List items separately using unit costs for photocopying, postage, telephone/telefax, printing, office supplies (e.g., Telephone: \$25/month x 12 months).
4. **Indirect Expenses:** See OMB Circular A-122, "Cost Principles for Non-profit Organizations"
 - a. If your organization has an indirect cost-rate agreement with the U.S. Government, please include a copy of this agreement as an addendum to the budget.
 - b. Indicate how the rate is applied--to direct administrative expenses, to all direct costs, to wages and salaries only, etc.
 - c. Do not include indirect costs against participant expenses in the Bureau budget as it does not pay these costs.

SPECIAL NOTES:

- The limit on administrative costs includes both direct and indirect administration charges, whether or not the indirect charges are based on program or administration expenses.
- Expenses, especially administrative costs, should be cost-shared. Cost-sharing by the applicant organization should be clearly stated in the budget as the applicant's contribution.
- Preference is given to applicants proposing to waive or substantially cost share indirect expenses in order to utilize the highest possible proportion of funds for direct program costs.

SAMPLE LINE-ITEM ADMINISTRATIVE BUDGET

	Bureau of Educational and Cultural Affairs	Cost Sharing	Total
1. Salaries: by position and rate			
2. Fringe Benefits: specify type and rate			
3. Telephone/fax			
4. Copying			
5. Postage			
Other			
6. Indirect Costs			
TOTAL ADMINISTRATIVE COSTS			

TECHNICAL FORMAT AND INSTRUCTIONS

Technical Format Requirements:

1. Provide double-spaced, single-sided Executive Summary and Proposal Narrative;
2. Provide proposal budget per RFP or solicitation letter guidelines and Proposal Submission Instructions (PSI);
3. Provide completed Assistance Award Proposal Cover Sheet, Additional Applicant Organization Information Form, and Certification of Compliance;
4. Number all pages, including budget and addenda;
5. Use 8 1/2" x 11" paper for the package.

The original proposal and the required number of copies indicated in the solicitation document should be arranged in the following order:

- Table of Contents (List all attachments)
- TAB A Assistance Award Proposal Cover Sheet (One additional copy of the Application cover sheet must be included in an envelope marked "Attention: ECA/EX/PM.")
- TAB B Executive Summary (One page)
- TAB C Narrative (Not to exceed twenty pages)
Calendar of activities/itinerary, if applicable
- TAB D Detailed Budget (Three column, line-item budget)
- TAB E Resumes and CVs (Project staff; not to exceed two pages each)
Letters of endorsement
- TAB F* "Additional Applicant Organization Information" Form (The Bureau retains the right to ask for further documentation of those items included on this form.)
Copy of IRS notification of current tax-exempt status, as requested in the Additional Applicant Organization Information form
Certification of Compliance
Other attachments, is applicable

**TAB F only needs to be included in the original and one (1) copy of the proposal; the remaining copies of the proposal do not need TAB F.*

All organizations submitting a proposal must **read, sign and retain** in their main administrative offices the forms and/or certificates listed below. The **Certification of Compliance with Federal Forms** (Form DS-2013) must be signed and inserted in the proposal under TAB F; this form indicates that the applicant is in compliance with the instructions to read, sign, and retain in their administrative office, the attached forms:

1. Certification Regarding Drug-Free Workplace:
Form DS-2011 attached.
02. Lobbying Certification for Contracts, Grants and Cooperative Agreements:
Form DS-2018, and SF Form-LLL attached.
3. Certification Regarding Debarment, Suspension and Other Responsibility Matters for Primary Covered Transactions:
Form DS-2014 attached.
4. Certification Regarding Debarment, Suspension and Other Responsibility Matters for Lower Tier Covered Transactions:
Form DS-2015 attached.
5. Assurance of Compliance with U.S. Department of State Regulations Regarding Nondiscrimination:
Form DS-2016 attached.

Public reporting burden for this collection information (Paperwork Reduction Project: OMB1405-0115) is estimated to average twenty hours per response, including the time for reviewing instructions, searching existing data needed, and completing and reviewing the collection of information. Response to this package is voluntary. An agency may not conduct or sponsor, and the respondent is not required to respond to, a collection of information unless it displays a valid OMB control number.

U.S. Department of State's Bureau of Educational and Cultural Affairs has well-established procedures for internal Bureau grant review. The procedures respond to the need to provide consistent, fair, and quality decision-making regarding the relatively high volume of funding requests submitted to the Bureau. Information concerning grant requests is also essential in view of the Bureau's interest in the integrity of the review process. This information collection is intended to assist in compliance with goals established for the Bureau by the Fulbright-Hays Act, P.L. 87-256, to increase mutual understanding between the peoples of the United States and peoples of other countries by means of educational and cultural exchange. The Bureau reviews each grant application for compliance with established procedures. The applications are then screened by a panel for approval or disapproval for funding. Grants are not given to projects that are essentially for research, to fund publications, or finance the policy views of foreign governments. This information collection is necessary to maintain the grant application process for U.S. Department of State programs.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: A/RPS/DIR, U.S. Dept. Of State, Wash., D.C. 20520.

ASSISTANCE AWARD PROPOSAL COVER SHEET

1. DATE SUBMITTED	2. REFERENCE NUMBER #	3. GRANT NUMBER
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4. APPLICANT INFORMATION

LEGAL NAME:	ORGANIZATIONAL UNIT:
ADDRESS (give city, state, zip)	Name, telephone and fax number (with area code) of the person to be contacted on matters involving this application.

5. EMPLOYER IDENTIFICATION NUMBER (EIN): ____ - ____

6. TYPE OF APPLICANT: ____ A. State E. Special District I. Individual B. County F. Independent School District J. Non-Profit Org. C. Municipal G. State Controlled Inst. of Higher Learning K. Other (Specify) D. Township H. Private University	7. TYPE OF APPLICATION: ____ New ____ Continuation ____ Revision If Revision, provide appropriate letter(s). ____ A. Increase Award C. Increase Duration B. Decrease Award D. Decrease Duration OTHER: _____
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8. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	9. AREAS/COUNTRIES AFFECTED BY PROJECT:
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10. PROJECT DESCRIPTION:

11. PROPOSED PROJECT:		14. ESTIMATED FUNDING:	
Start Date	Ending Date	a. Federal	.00
		b. Applicant	.00
12. J-1 VISA DESIGNATION:		c. State	.00
		d. Local	.00
		e. Other	.00
13. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? ____ YES If "Yes" attach an explanation ____ NO		f. Program Income	.00
		g. TOTAL	.00

15. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded		
a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

INSTRUCTIONS FOR ASSISTANCE AWARD PROPOSAL COVER SHEET

This standard form is used by applicants as a required cover sheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

1. Date application submitted to Federal agency.
2. Reference number of program listed in the solicitation.
3. If this proposal is requesting an amendment to continue or revise an existing grant agreement, enter the agreement's Federal identifier number. If the proposal is requesting funds for a new project, leave blank.
4. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name, telephone and fax number, and Internet address (optional) of program contact person.
5. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
6. Enter the appropriate letter in the space provided.
7. Check the appropriate box and enter appropriate letter(s) in the space(s) provided:
 - "New" - new assistance award.
 - "Continuation" - extension for an additional funding/budget period for a project with a projected completion date.
 - "Revision" - any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
8. Enter a brief descriptive title of the project.
9. List only the largest political entities affected (e.g. Geographic areas, Foreign countries, Regions, Cities)
10. Self-explanatory. Use space provided.
11. Indicate the start and end dates when assistance award funds will be expended for the project.
12. Indicate applicant organization's J-1 visa designation number.
13. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include audit disallowances, loans and taxes.
14. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories. If a category does not apply to proposal submission, leave blank.
15. To be completed and signed by the authorized representative of the applicant.

**ADDITIONAL APPLICANT ORGANIZATION INFORMATION FORM
BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS**

Please supply the following information:

1. Does the applicant organization currently have J-I Visa Designation?

Yes _____ No _____

2. Congressional District Number: _____

Member of the House of Representatives:

Senators:

3. Travel Policy Option Statement:

Indicate your choice of options for processing domestic U.S. air travel.

Organization's own travel agent _____ OR

TMC - American Express Travel _____ (NOTE: Travel budget must be a minimum of \$20,000 to utilize this option.)

4. Check the applicable category:

- a) Non-profit organization (501 (c) status): _____
b) For profit organization: _____
c) Private individual: _____
d) Other (explain): _____

If you checked a) or b) above, what is your organization's fiscal year or tax reporting year?

-
5. If you checked a) or b) in number 4, attach a copy of Internal Revenue Service notification of current tax-exempt status. If your organization has received an assistance award (grant or cooperative agreement) from the U.S. Department of State, (including those formerly approved by USIA) within the past three (3) years, no submission is required.

Attached _____

Previously submitted _____

6. Accounting system:

Describe in the space below the organization's accounting system. Is it manual, automated, or a combination of both? Does the organization employ a double entry system? Does the accounting system allow grant funds and expenditures to be readily identified?

Continuation of Additional Applicant Organization Information Form (2 of 2)

7. Indirect Cost Rate:

For organizations with an audited indirect cost rate from other than U.S. Department of State, (including those formerly approved by USIA) include as an attachment to this form the agreement prepared by the cognizant federal government agency. If the applicant organization currently has an assistance award from U.S. Department of State, the agreement does not need to be submitted at this time unless the applicant organization has negotiated a **new indirect cost rate** with a cognizant agency other than U.S. Department of State, (including those formerly approved by USIA) during the past 12 months.

Attached _____

Not applicable _____

8. Financial Statement and Certified Annual Audit Report:

Private non profit 501 (c) applicant organizations must include the organization's most recent financial statement and certified annual audit report **unless** it will be submitted to the Bureau's Executive Office, Grants Division (ECA/EX/G) as part of the reporting requirements of a current Bureau assistance award. If the most recent reports have been previously submitted, please include a cover statement explaining when the next financial statement and audit will be issued.

Financial statement/audit report attached _____

Statement indicating issue date of next audit _____

To be submitted to the Bureau's Grant's Division (ECA/EX/G). Please indicate the name and number of the assistance award.

9. For first time applicant organizations and organizations which have not received an assistance award (grant or cooperative agreement) from the Bureau during the past three (3) years:

Private non-profit organizations which derive their status from 501 (c) must submit as an attachment to this form the following:
(a) one copy of their Charter OR Articles of Incorporation; and, (b) a list of the current Board of Directors.

Note: Public institutions (state, city, town, etc.) and Institutions of Higher Education need not submit the documents in 8) & 9).

For renewal applicants: It is assumed that the applicant organization will continue to process all **travel and insurance** issues in the manner described in the current grant. If the applicant organization wishes to deviate from the established norm, the changes must be described in the narrative of the application.

CERTIFICATION OF COMPLIANCE WITH FEDERAL FORMS

As the duly authorized representative of the Applicant, I hereby certify that the Applicant will comply with the following statutes, executive orders and regulations.

NOTE: This form must be signed and included in the proposal submission package whenever an organization applies to the Bureau of Educational and Cultural Affairs of the U.S. Department of State for a new or renewal award.

1. Federal statutes relating to nondiscrimination: (a) Title VI of the Civil Rights Act of 1964 (42 USC 2000d et seq.); (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 USC 794) (see also 22 CFR Part 142); (c) Title IX of the Education Amendments of 1972 (20 USC 1681 et seq.); (d) Age Discrimination Act of 1975, as amended (42 USC 6101 et seq.) (see also 22 CFR Part 143), and provisions of the Americans with Disabilities Act of 1990 and the Civil Rights Act of 1991, as applicable.
2. Executive Order 12549 of February 18, 1986, Debarment and Suspension; 22 CFR Part 137.
3. Drug-free Workplace Act of 1988 (41 USC 701 et seq.); 22 CFR Part 137.
4. New Restrictions on Lobbying (31 USC 1352); 22 CFR Part 138.

TYPED NAME AND SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION (NAME, ADDRESS, TELEPHONE)	DATE

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
FOR GRANTEES OTHER THAN INDIVIDUALS**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 22 CFR Part 513, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Bureau determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment (see 22 CFR Part 513, Section 513.615 and 513.620).

The grantee certifies that it will provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing a drug-free awareness program to inform employees about:
 - a. The dangers of drug abuse in the workplace;
 - b. The grantee policy of maintaining a drug-free workplace;
 - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
3. Making it a requirement that each employee engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will:
 - a. Abide by the terms of the statement; and
 - b. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such a conviction.
5. Notifying the Bureau within ten days after receiving notice under subparagraph 4.b. from an employee or otherwise receiving actual notice of such conviction;
6. Taking one of the following actions, within 30 days of receiving notice under subparagraph 4.b., with respect to any employee who is so convicted -
 - a. Taking appropriate personnel action against such an employee, up to and including termination; or
 - b. Requiring such employee to participate satisfactorily in a drug assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5, and 6.

Place(s) of Performance:

The grantee shall insert in the space provided below, the site(s) for the performance of work done in connection with the specific grant (street address, city, county, state, zip code):

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

**LOBBYING CERTIFICATION FOR CONTRACTS, GRANTS
AND COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure.

Signature/Date

Printed/Typed Name

DISCLOSURE OF LOBBYING ACTIVITIES
(Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352)

1. Type of Federal Action: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application b. initial award c. post-award	3. Report Types: a. initial filing b. material change For Material Change Only: year____ quarter____ date of last report____
4. Name and Address of Reporting Entity: Prime Subawardee Tier____ if known: Congressional District, if known:_____		5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime Congressional District, if known:_____
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable:_____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a) Name and Address of Lobbying Entity <i>(If individual, last name, first name, M.I.)</i> (attach Continuation Sheet(s) SF-LLL-A, if necessary)	b) Individuals Performing Services (including address if different from No. 10a) (last name, first name, M.I.) (attach Continuation Sheet(s) SF-LLL-A, if necessary)	
11. Amount of Payment (check all that apply): \$ _____ actual planned	13. Type of Payment (check all that apply): a. retainer b. one-time fee c. commission d. contingent fee e. deferred f. other; specify: _____	
12. Form of Payment (check all that apply): a. cash b. in-kind: specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including office(s), employee(s), or Member(s) contacted, for Payment indication in Item 11. (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: YES NO		
16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature: _____ Print Name: _____ Title: _____ Telephone No. _____ Date: _____

^{Ex}**DISCLOSURE OF LOBBYING ACTIVITIES**
CONTINUATION SHEET

Reporting Entity: _____

Page ____ of ____

(1/90)

NEW RESTRICTIONS ON LOBBYING

(a) Definitions. As used in this clause,

"Agency," as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(i).

"Covered Federal action" means any of the following Federal actions:

1. The awarding of any Federal contract;
2. The making of any Federal grant;
3. The making of any Federal loan;
4. The entering into of any cooperative agreement; and
5. The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

Covered Federal action does not include receiving from any agency a commitment providing for the United States to insure or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definition of Indian tribes in that Act.

"Influencing or attempting to influence" means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government" means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of government, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency" includes the following individuals who are employed by an agency:

1. An individual who is appointed to a position in the Government under title 5, U.S. Code, including a position under a temporary appointment;
2. A member of the uniformed services as defined in section 101(3), title 37, U.S. Code;
3. A special Government employee as defined in section 202, title 18, U.S. Code; and,
4. An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, U.S. Code, Appendix 2.

"Person" means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Reasonable compensation" means, with respect to a regularly employed officer or employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.

"Reasonable payment" means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.

"Recipient" includes all contractors and subcontractors at any tier in connection with a Federal contract. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed" means, with respect to an officer or employee of a person requesting or receiving a Federal contract, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State" means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

(1) Section 1352 of title 31, U.S. Code provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) The prohibition does not apply as follows:

- (i) Agency and legislative liaison by Own Employees.

Continuation of New Restrictions on Lobbying (2 of 4)

(A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of a reasonable compensation made to an officer or employee or a person requesting or receiving a Federal contract if the payment is for agency and legislative liaison activities not directly related to a covered Federal action.

(B) For purposes of paragraph (A) of this section, providing any information specifically requested by an agency or Congress is allowable at any time.

(C) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable at any time only where they are not related to a specific solicitation for any covered Federal action:

(i) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products, services, conditions or terms of sale, and service capabilities; and,

(ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(D) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable only where they are prior to formal solicitation of any covered Federal action:

(i) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;

(ii) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and,

(iii) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.

(E) Only those activities expressly authorized by paragraph

(i) of this section are allowable under paragraph (i).

(ii) Professional and technical services by Own Employees.

(A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract or an extension, continuation, renewal, amendment, or modification of a Federal contract if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal contract or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract.

(B) For purposes of paragraph (A) of this section, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline.

Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communication with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services.

Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.

(C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.

(D) Only those services expressly authorized by paragraph (ii) of this section are allowable under paragraph (ii).

(iii) Reporting for Own Employees.

No reporting is required with respect to payments of reasonable compensation made to regularly employed officers or employees of a person.

Continuation of New Restrictions on Lobbying (3 of 4)

For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable.

(iv) Professional and technical services by Other than Own Employees.

(A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action, if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal contract or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract.

(B) For purposes of paragraph (A) of this section, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communication with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.

(C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.

(D) Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.

(E) Only those services expressly authorized by paragraph (iv) of this section are allowable under paragraph (iv).

(c) Disclosure.

(1) Each person who requests or receives from an agency a Federal contract shall file with that agency a certification that the person has not made, and will not make, any payment prohibited by paragraph (b) of this clause.

(2) Each person who requests or receives from an agency a Federal contract shall file with that agency a disclosure form, Standard Form - LLL, "Disclosure of Lobbying Activities," if such person has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered Federal action), which would be prohibited under paragraph (b) of this clause if paid for with appropriated funds.

(3) Each person shall file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed by such person under paragraph (2) of this section. An event that materially affects the accuracy of the information reported includes:

- (i) A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or
- (ii) A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or,
- (iii) A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.

(4) Any person who requests or receives from a person referred to in paragraph (1) of this section a subcontract exceeding \$100,000 at any tier under a Federal contract shall file a certification, and a disclosure form, if required, to the next tier above.

(5) All disclosure forms, but not certifications, shall be forwarded from tier to tier until received by the person referred to in paragraph (1) of this section. That person shall forward all disclosure forms to the agency.

(d) Agreement.

In accepting any contract resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.

(e) Penalties.

(1) Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure.

Continuation of New Restrictions on Lobbying (4 of 4)

(2) Any person who fails to file or amend the disclosure form to be filed or amended if required by this clause, shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(3) Contractors may rely without liability on the representation made by their subcontractors in the certification and disclosure form.

(f) Cost allowability.

Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of Part 31 of the Federal Acquisition Regulation.

(END OF CLAUSE)

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION,
AND OTHER RESPONSIBILITY MATTERS FOR PRIMARY COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 22 CFR Part 513. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations may be obtained by contacting the U.S. Department of State, Bureau of Educational and Cultural Affairs, Grants Division, ECA/EX/G, 301 4th Street, S.W., Washington, D.C., 20547; telephone (202) 205-5477.

BEFORE COMPLETING READ FORM TITLED INSTRUCTIONS FOR CERTIFICATION

1. The prospective primary participant certifies to the best of its knowledge and belief that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

INSTRUCTIONS FOR PRIMARY AND LOWER TIER COVERED TRANSACTION FORMS

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," (Form DS-2015) provided by the department or agency entering into this covered transaction, without modification, in all lower tier transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION,
AND VOLUNTARY EXCLUSION FOR LOWER TIER COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 22 CFR Part 513. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

ASSURANCE OF COMPLIANCE WITH FEDERAL REGULATIONS

Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and Title IX of the Education Amendment of 1972.

_____ (hereafter called the "Applicant")

hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and, where applicable, Title IX of the Education Amendment of 1972 (20 U.S.C. 1681 et seq.) and all regulations of the Bureau of Educational and Cultural Affairs of the U.S. Department of State issued pursuant to these statutes. Title VI, Section 504, and Title IX prohibit discrimination on the basis of race, color, national origin, handicap, or sex in any program or activity receiving U.S. Department of State support. The Applicant hereby gives assurance that it immediately will take any measures necessary to comply.

This assurance shall obligate the Applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with U.S. Department of State assistance, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Bureau support, this assurance shall obligate the Applicant or any transferee for as long as the property or structure is used.

This assurance is given in connection with any and all financial assistance from the U.S. Department of State after the date this form is signed, including payments after that for financial assistance approved previously. The Applicant recognizes and agrees that any such financial assistance will be extended in reliance on the representations and agreements made in this assurance, and the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferee, and assignees, and on the authorized official whose signature appears below.

Applicant

Applicant's mailing address

Telephone Number

By (President, Chairman of the Board, or comparable authorized official)

Dated